



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/775,599	02/05/2001	Joseph G. Gatto	56351.000016

James G. Gatto  
Hunton & Williams  
Suite 1200  
1900 K Street, N.W.  
Washington, DC 20006



CONFIRMATION NO. 9235

## FORMALITIES LETTER



\*OC00000006024091\*

Date Mailed: 04/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

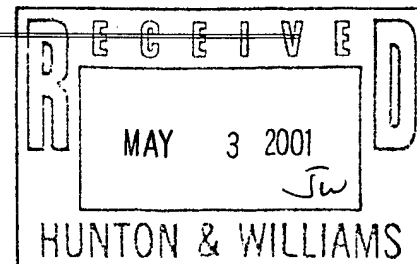
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);


*A copy of this notice **MUST** be returned with the reply.*

07/05/2001 AZERGAU1 00000041 09775599

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : JOSEPH G. GATTO  
SERIAL NUMBER : 09/775,599 EXAMINER : *Not assigned*  
FILING DATE : February 5, 2001 ART UNIT : 2161  
FOR : SECURITY ANALYST ESTIMATES PERFORMANCE  
VIEWING SYSTEM AND METHOD



BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

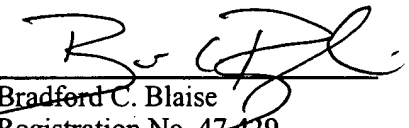
RESPONSE TO NOTICE TO FILE MISSING PARTS

Sir:

In response to the Notice To File Missing Parts mailed April 30, 2001, Applicants submit herein payment of the surcharge fee (\$65.00) set forth in 37 CFR 1.16(e). Also submitted herein is an executed Declaration and Power of Attorney together with a copy of the Notice to File Missing Parts. Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 23449-016.

Date: June 29, 2001

Respectfully submitted,

  
Bradford C. Blaise  
Registration No. 47,429  
Mintz, Levin, Cohn, Ferris,  
Glovsky and Popeo, P.C.  
11911 Freedom Drive, Suite 400  
Reston, Virginia 20190  
(703) 464-8130

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RES 45574v1

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

JOSEPH G. GATTO

Serial No.: 09/775,599

Filed: February 5, 2001



Art Unit: 2161

Examiner: *Not Assigned*



**SECURITY ANALYST ESTIMATES  
PERFORMANCE VIEWING SYSTEM  
AND METHOD**

The Assistant Commissioner for Patents  
Washington, D.C. 20231

**SUBMISSION OF SUBSTITUTE DRAWINGS**

Dear Sir:

Submitted herewith are forty-six (46) pages of substitute drawings in the above-identified Patent Application. The drawings are now in compliance with 37 C.F.R. 1.84.

Respectfully submitted,

Bradford C. Blaise

Registration No. 47,429

For: James G. Gatto

Registration No. 32,694

Date: June 29, 2001

MINTZ, LEVIN, COHN, FERRIS, GLOVSKY, AND POPEO, P.C.  
11911 Freedom Drive, Suite 400  
Reston, Virginia 20190  
(703) 464-8130



PATENT  
Docket No.: 23449-016

*Section 3*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:  
JOSEPH G. GATTO

SERIAL NO.: 09/775,599

FILED: February 5, 2001



Group Art Unit: 2161

Examiner: *Not yet assigned*

FOR: SECURITY ANALYST ESTIMATES  
PERFORMANCE VIEWING SYSTEM  
AND METHOD

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL LETTER**

Sir:

Transmitted herewith for filing in the present application are the following documents:

1. Response to Notice to File Missing Parts with copy of Notice to File Missing Parts of Application and executed Combined Declaration and Power of Attorney for Patent Application attached;
2. Submission of Substitute Drawings;
3. Petition to Make Special;
4. Information Disclosure Statement;
5. PTO Form-1449 (in duplicate), with 16 references attached;
6. Recordation Form Cover Sheet with executed Assignment attached; and
7. Check in the amount of \$235.00.

Our check for \$235.00 is enclosed covering any required fees. In the event any variance exists between the amount enclosed and the Patent and Trademark Office charges, please charge or credit the difference to our Deposit Account 50-0311, Reference No. 23449-016. A duplicate copy of this letter is enclosed for that purpose.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned at (703) 464-8130.

Date: June 29, 2001

Respectfully submitted,

Bradford C. Blaise  
Registration No. 47,429  
Mintz, Levin, Cohn, Ferris,  
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11911 Freedom Drive, Suite 400  
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